



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO. 09/850,650	FIRST NAMED APPLICANT BATTERSBY	ATTY. DOCKET NO. B 21415-0005
INTERNATIONAL APPLICATION NO. PCT/AU99/01065		
I.A. FILING DATE 30 NOV 99		
PRIORITY DATE 30 NOV 98		
DATE MAILED: 01 AUG 2001		

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as  a Designated Office (37 CFR 1.494)  an Elected Office (37 CFR 1.495):
  - U.S. Basic National Fee.
  - Copy of the international application.
  - Oath or Declaration of inventors(s).
  - Copy of Article 19 amendments.
  - Priority Document.
  - The International Preliminary Examination Report in English and its Annexes, if any.
  - Translation of Annexes to the International Preliminary Examination Report into English.
  - Indication of Small Entity Status.
  - Translation of the international application into English.
  - Translation of Article 19 amendments into English.
  - Other:
2.  Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
  - U.S. Basic National Fee.
  - Copy of the international application.
3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:
  - a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
    - The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
  - b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
  - c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
    - The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
  - d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).
4. Additional claim fees of \$ 1312.00 as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.
5.  Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes MUST be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7.  The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

*A copy of this notice MUST be returned with this response.*

Enclosed:  PCT/DO/EO/917  Notice of Defective Translation  
 PTO-875  PCT/DO/EO/920

Mamie P. Person *M.P.*

Telephone: 703-305-3737

FORM PTC-1390 (Modified) (REV. 5-83)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				21415-0005	
SEP 06 2001				U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 09/856,859	
INTERNATIONAL APPLICATION NO. PCT/AU99/01065		INTERNATIONAL FILING DATE November 30, 1999		PRIORITY DATE CLAIMED November 30, 1998	
TITLE OF INVENTION CARRIERS FOR COMBINATORIAL COMPOUND LIBRARIES					
APPLICANT(S) FOR DO/EO/US Bronwyn Jean BATTERSBY; Darryn Edward BRYANT; Matt TRAU					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371©(2))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ul> </p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371 ©(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371©(3))           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> </p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371©(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371©(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371©(5)).</p>					
Items 11. to 16. below concern other document(s) or information included:					
<p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input type="checkbox"/> Other items or information:</p>					

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.50 09/856,859	INTERNATIONAL APPLICATION NO. PCT/AU99/01065	ATTORNEY'S DOCKET NUMBER 21415-0005		
17. <input checked="" type="checkbox"/> The following fees are submitted:		<b>CALCULATIONS</b> PTO USE ONLY		
<b>Basic National Fee (37 CFR 1.492(a)(1)-(5):</b> Neither international preliminary examination fee (CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1000.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$860.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$710.00  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$690.00  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00				
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 ____ 30 ____ months from the earliest claimed priority date (37 CFR 1.492(e))		\$130.00		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	62 - 20	42	X \$18.00	\$756.00
Independent Claims	5 - 3	2	X \$80.00	\$160.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+ \$270.00		
<b>TOTAL OF ABOVE CALCULATIONS =</b>		\$1046.00		
<input checked="" type="checkbox"/> Applicants claim small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.		\$523.00		
<b>SUBTOTAL =</b>		\$523.00		
Processing fee of \$130.00 for furnishing English translation later the 20 ____ 30 ____ months from the earliest claimed priority date (37 CFR 1.492(f))		+		
<b>TOTAL NATIONAL FEE =</b>				
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				
<b>TOTAL FEES ENCLOSED =</b>		\$523.00		
09/10/2001 HEDUVILLE 00000116 09856859				Amount to be: refunded \$
01 FC 254	65.00 DP			charged: \$
02 FC 267	378.00 DP			
03 FC 265	80.00 DP			
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$523.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>08-1641</u> in the amount of <u>\$</u> to the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>08-1641</u> . A duplicate copy of this sheet is enclosed.				
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.				
SEND ALL CORRESPONDENCE TO:				
HELLER EHRMAN WHITE & MCAULIFFE, LLP 1666 K Street, NW, Suite 300 Washington, DC 20006 Tel: (202) 912-2000 Fax: (202) 912-2020				
				
26633				
DATE: SEPTEMBER 6, 2001				

PCT

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL  
for FY 2001

SEP 06 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 523)

Complete If Known	
Application Number	09/856,859 ✓
Filing Date	May 29, 2001
First Named Inventor	Bronwyn Jean BATTERSBY et al.
Examiner Name	Unassigned
Group / Art Unit	Unassigned
Attorney Docket No.	21415-0005

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METHOD OF PAYMENT (check one)					FEE CALCULATION (continued)				
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:					3. ADDITIONAL FEES				
Deposit Account Number	08-1641				Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
Deposit Account Name	HELLER EHRMAN WHITE & MCAULIFFE				105	130	205	65 Surcharge - late filing fee or oath	65
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17					127	50	227	25 Surcharge - late provisional filing fee or cover sheet.	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27					139	130	139	130 Non-English specification	
2. <input checked="" type="checkbox"/> Payment Enclosed:					147	2,520	147	2,520 For filing a request for reexamination	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other					112	920*	112	920* Requesting publication of SIR prior to Examiner action	
FEE CALCULATION									
1. BASIC FILING FEE									
Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid				
101	710	201	355	Utility filing fee					
106	320	206	160	Design filing fee					
107	490	207	245	Plant filing fee					
108	710	208	355	Reissue filing fee					
114	150	214	75	Provisional filing fee					
SUBTOTAL (1)					(\$ 0)				
2. EXTRA CLAIM FEES									
Total Claims	62	-20	= 42	Extra Claims	Fee from below	Fee Paid			
Independent Claims	5	-3	= 2		40	80			
Multiple Dependent				X		0			
Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid				
103	18	203	9	Claims in excess of 20					
102	80	202	40	Independent claims in excess of 3					
104	270	204	135	Multiple dependent claim, if not paid					
109	80	209	40	** Reissue independent claims over original patent					
110	18	210	9	** Reissue claims in excess of 20 and over original patent					
SUBTOTAL (2)					(\$ 458)				
Other fee (specify)									
*Reduced by Basic Filing Fee Paid					SUBTOTAL (3) (\$ 65)				
**or number previously paid, if greater; For Reissues, see above									

SUBMITTED BY						Complete (if applicable)
Name (Print/Type)	John P. Isaacson	Registration No. Attorney/Agent)	33,715	Telephone	(202) 912-2000	
Signature	<i>John P. Isaacson</i>			Date	September 6, 2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.



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